

APPENDIX K - Preparation Guidelines for Project Report

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APPENDIX K - Preparation Guidelines for Project Report

ARTICLE 1 - Overview

Important Distinctions

The term "Project Report" (PR) refers to the report used to recommend approval of a project. The term "Draft Project Report" (Draft PR) refers to a draft version of this report that must be prepared for projects with environmental documents. Throughout this manual, this distinction is maintained.

Projects with Environmental Documents

If the project requires an environmental document (ED), a Draft PR must be prepared prior to the PR (see Chapter 11), unless there is already a satisfactory approved ED by either Caltrans or others. The Draft environmental document (DED) must be attached to the Draft PR.

Following public circulation of a DED, consideration of public comments, and the selection of a Preferred Alternative, the Draft PR is revised accordingly to prepare it to become the Project Report. The Final environmental document (FED) must be attached to the PR.

Projects without Environmental Documents

Only a PR is required for projects that are statutorily exempt or Categorically Exempt/Excluded. A signed CE Determination Form is a mandatory attachment to the PR for many CE projects. See the *Environmental Handbook* for details.

Recommendation Important

Both Draft PRs and PRs should contain a recommendation. This documents what is being approved. A PR should recommend approval of the project. A Draft PR, when required, should recommend proceeding to a public hearing; if there is no federal involvement, it should recommend circulation of the DED. For further details, see Article 2, outline Item 2., "Recommendation."

Following the Outline

All appropriate headings in the Outline at the end of this appendix should be listed and discussed in the PR and the Draft PR. Topics listed under Item 7, "Other Considerations

as Appropriate" may not apply to some projects, so these should only be discussed if appropriate.

Subject matter that is thoroughly discussed in the DED or FED should not be repeated in its entirety in a PR or a Draft PR. Instead, the environmental information should be summarized and then cross referenced to the appropriate part of the ED.

ARTICLE 2 - Item-by-Item Guidelines for the Project Report Outline

Cover Sheet

PRs and Draft PRs should have a standard cover sheet to provide project identification information and signatures. Include the following information:

- Title

Indicate "Project Report" or "Draft Project Report," as appropriate.

- District-County-Route, Kilometer Post (Post Mile) [Dist-Co-Rte, KP(PM)]

The Kilometer Post should be given to the nearest 0.1 kilometer; if the project is 0.2 kilometer or more in length, give both the beginning and ending Kilometer Posts. Post Miles should follow Kilometer Posts if needed for continuity of file references or other reasons. If different viable alternatives in a Draft PR have varying limits, use the Kilometer Posts encompassing all alternatives. The final PR limits should use the limits of the Preferred Alternative.

- Responsible Unit (RU)

The Unit Source Code of the registered engineer in responsible charge (or other professional) of the technical features of the project — or the oversight engineer.

- Expenditure Authorization (EA)

The multiphase EA, using the "0" phase for the project.

- Program Identification

The program codes as given in the programming document or the project scheduling plan, indicating the kind of work involved: for example, FCR-HB4C or RAS-HA22 or TSM-HB5.

- On Route _____ From _____ To _____

A brief written description of the project limits, that corresponds to the Kilometer Posts given above and ties the limits to commonly known physical features on the ground that can be identified on available mapping.

- Vicinity Map

A small map showing the project limits consistent with the brief description and Kilometer Posts, plus a north arrow. For a person unfamiliar with the project, the map should be sufficient to locate the project at a glance. It should show the features used to identify the project limits: such as roads, streams, junctions or railroads, and the nearest town (unless too distant), plus a note indicating the direction-to and name-of the next town in each direction.

- Right of Way Statement

A statement signed by the District Division Chief Right of Way indicating review of the right of way information contained in the PR or Draft PR and the R/W data sheet attached to it.

- Recommended Approval

The recommendation for approval, signed by the Project Manager. It affirms that all engineering and environmental studies have been included.

- Approval

The approval of the PR or Draft PR, signed and dated by the District Director or by a District Division Chief to whom that authority has been officially delegated, approves the recommendations of the report. The Draft Project Report is used to authorize proceeding to a public hearing and must include this recommendation. The signature date on the PR becomes the official date of State project approval and approval of initiation of Plans, Specifications and Estimates (PS&E).

Registered Professional's Stamp and Statement

The PR or Draft PR is usually an engineering document. As such, it requires the seal or stamp of a registered civil engineer or, if not, of an other appropriate professional. The second page of the PR or Draft PR contains the required stamp or seal and signature of a registered civil engineer who is the person in responsible charge (or similar information if a person of another profession is in responsible charge). The sheet must include a statement indicating that the registered civil engineer attests to the technical information contained herein and the engineering data upon which recommendations, conclusions,

and decisions are based, or a similar appropriate statement for another profession. Approval of the PR or Draft PR is a management decision and is separate from this technical signature of the person in responsible charge.

1. INTRODUCTION

A three or four sentence introduction is needed to set the stage for the project. Include limits, purpose, cost, program, fiscal year, and Project Development Category (see Chapter 8, Section 5). Cite only appropriate criteria. For example:

It is proposed to widen Route 99 from four lanes to six lanes from Sacramento Road to Yolo Avenue to reduce congestion. Cost was estimated at \$3,000,000 on March 5, 1995, which includes \$500,000 for right of way and utility relocation and \$2,500,000 for construction. The project is proposed to be funded from the Flexible Congestion Relief HB4C Program in the 1993/94 FY. This project has been assigned the Project Development Processing Category 4A because it requires substantial new right of way and increases traffic capacity.

For a Draft PR

In a Draft PR, describe the viable alternatives.

For a PR (if appropriate)

In a PR, describe the Preferred Alternative.

2. RECOMMENDATION

Give a recommendation for approval. If cooperative features are described, recommend that the cooperative features be approved and a Cooperative Agreement be negotiated.

For a Draft PR

If this is a draft PR with an attached DED, recommend approval to publicly circulate the DED and to schedule a public hearing — or recommend that an opportunity for a hearing be offered if appropriate, based on the viable alternatives developed.

For a PR

If this is a PR, recommend that the project be approved using the Preferred Alternative (if applicable), and that the project proceed to the design phase.

For projects with an FED, a statement must accompany the recommendation that attests that (1) the affected local agencies have been consulted with respect to the recommended plan, that (2) their views have been considered, and (3) that the local agencies are in general accord with the plan as presented. Requests for project approval without this assurance shall not be made except under extenuating circumstances, in which case the request shall contain the reasons for not having local agency concurrence.

If necessary, make recommendations for programming changes to cost amounts, fiscal year scheduling, or stage construction.

3. BACKGROUND

- **Project History**

Discuss the history of the project to-date. Discuss how it got to where it is in the project development process.

Answer these questions: Was the project previously approved and is it now being rescoped? How much project development effort has already been expended? Has any right of way been acquired? Have any issues been identified? As appropriate, give approval dates of the Project Study Report (PSR), etc. How does the current proposal differ, if any, from the approved PSR?

- **Community Interaction**

Summarize community interaction and contacts (what was expressed and Caltrans' response). Were meetings held with legislators or local politicians, etc.? Were any commitments made? Have any issues developed? Is there support or opposition? Has there been contact with any special interest groups, including contacts with minorities, elderly, physically challenged, non-drivers (transit-dependent), pedestrians, bicyclists, and the economically disadvantaged? Discuss their needs and what can be done to accommodate these needs.

- **Existing Facility**

Describe the existing facility within the proposed project limits, as well as contiguous with each end of the proposal. Note right of way widths, access control, capacity adequacy, geometrics, structural section condition, drainage, and any other appropriate information. The level of detail to be given should relate to the proposed alternative project features and existing deficiencies and substandard features and should not give a lot of detail unless it is needed to explain the proposed alternatives.

4. NEED AND PURPOSE

A. Problem, Deficiencies, Justification

Provide a concise discussion on the need and purpose of the project proposal and alternatives, supplemented by attached maps, charts, tables, letters, etc. Project "need" should be stated in a factual and professional manner. Adjectives that promote an unsubstantiated opinion such as "dangerous", "hazardous", or phrases such as "this curve caused six accidents" should not be used.

Answer these questions: What is the problem? Does the discussion set the stage to conclude that the project is needed? Be as specific as possible: How much

congestion? How many fatalities? How much flooding? How much maintenance effort is needed?

The data from the PSR or other project initiation document should now be updated to reflect new environmental and additional engineering studies. The discussion should make a convincing case that a solution to a problem is needed and that the purpose of the proposed project is to provide a solution that best solves the transportation problem.

B. Regional and System Planning

- **Identify Systems**

Identify the federal and State systems the proposed project is on, including the Interstate System, the National Highway System, the Freeway & Expressway System, the Scenic Highway System, the Interregional Road System, State Highway Extra Legal Load (SHELL) Route System, etc. Identify any master plan relating to the proposal.

- **State Planning**

Discuss how the alternatives relate to the State planning documents. Discuss the Route Concept and Concept Facility as proposed in the Route Concept Report. Describe its placement in the Transportation System Development Plan and the District System Management Plan. Discuss any other pertinent State plan, such as the California Recreational Trails Plan or the State Implementation Plan for air quality.

- **Regional Planning**

Discuss how the project alternatives are treated in regional planning documents. Are the proposals consistent with the Regional Transportation Plan (RTP)? If not, what steps are being taken to assure consistency? Where required, state that the RTP was derived from a Congestion Management Plan that included the project (specify which alternatives or indicate "all" alternatives). Refer to Item 6F of the outline for a statement regarding the RTP's conformity to the State Implementation Plan (SIP) for air quality.

- **Local Planning**

Discuss how the project alternatives are treated in local planning documents. Discuss any pertinent local planning documents. Examples: (1) specific area and subdivision plans and their relationship to ultimate development, (2) the nonmotorized master plan: outlining the potential impacts on non-motorized transportation and pedestrians. Discuss any other planning documents that are pertinent, such as the Coastal Zone Plan, the Air Quality Control Plan, etc. Explain any inconsistencies.

For a PR with a FED

Discuss the compatibility of the Preferred Alternative with local and regional plans (if not covered in environmental document).

- **Transit Operator Planning**

When appropriate, discuss coordination with transit operators and their planning in the corridor. Discuss opportunities to enhance transit service, as well as the impacts of project proposals on existing and future transit service (bus stops, ramp metering, by-pass lanes, transit ways, HOV lanes and drop ramps, etc.).

C. Traffic

- **Current and Forecasted Traffic**

Give current and forecasted design year values for AADT, peak month ADT (where significant), peak hour and peak hour directional split — including percentage of trucks, if appropriate. Refer to the *Highway Design Manual* (Index 103.2 and 603.2) for a discussion of design periods. Briefly state the growth assumptions that provided the basis for the forecast.

- **Accident Rates**

Include the most recent three-year accident history by type, as well as the comparable breakdown of the state-wide average accident rates for similar facilities. On all projects where the primary justification or an important justification of the project is to improve safety, include an analysis of the causes of the accidents, as well as a collision diagram. A statement should be made regarding the accident reduction potential if the improvement alternatives are built. Include the Safety Index calculation sheet for safety projects, and where appropriate, the safety warrants.

5. ALTERNATIVES

A. Viable Alternatives

For a Draft PR

Discuss project alternatives that have not yet been rejected — including variations that will satisfy project goals, be cost effective, and that will avoid or minimize environmental and right of way impacts. The "no-build" alternative shall be discussed for Project Development Categories 1 through 4A.

Provide the same detail of discussion for all viable alternatives. Include appropriate attachments for each viable alternative (DPR Cost Estimate, R/W Data Sheet, etc.).

If a proposal or a Preferred or recommended alternative is to be identified in the Draft PR, indicate that approval of the Draft PR does not constitute approval of the proposal or the Preferred or recommended alternative, but that approval will occur after a public hearing.

For a PR with a FED

For a Project Report with a FED, if appropriate identify the Preferred Alternative and describe any changes resulting from the comments received from circulation of the environmental document and the public hearing process, including proposed changes in the project design or any mitigating features. Describe the engineering, environmental, and planning rationale for selection of the Preferred Alternative. For each of the other viable alternatives, retain the detailed description of each, adding an explanation for why each alternative was not selected. If an alternative that was formerly considered viable was determined to be not viable it should be removed and described under Item 5.B.

For Both a PR and a Draft PR

Where appropriate, discuss the following for each viable alternative: proposed engineering features – nonstandard design features – interim features – HOV lanes – ramp metering – CHP enforcement activities – Park and Ride facilities – utility involvement – railroad involvement – highway planting – erosion control – noise barriers – nonmotorized and pedestrian features – needed roadway rehabilitation and upgrading – needed structure rehabilitation and upgrading – current construction and right of way cost estimates – effect of special-funded proposal on operation – and other subjects, as needed. Information needs for each item follow:

- **Proposed Engineering Features**

Give a brief description of the engineering features of the alternative. This should include the proposed typical section – horizontal and vertical alignment summary – right of way widths – access control requirements – general geometrics of interchanges and intersections – structural section requirements – drainage structures, and any other appropriate information. Give the anticipated hourly and daily capacity and the projected level of service of the proposal for the design year. If at capacity at the design year, also give the year that capacity is projected to occur.

- Nonstandard Mandatory and Advisory Design Features –

Provide a brief summary of all exceptions to design standards and document their approval. Do not repeat all of the background and justification contained in the Fact Sheet for the Exception to Design Standards. If not approved prior to the PSR approval, any additional proposals deviating from Mandatory Design Standards (either by proposed features or by unmodified existing features) must be reviewed and approved by the PD Coordinator before approval of the PR. Chapter 21 discusses the preparation and approval of exceptions to design standards. (See the *Highway Design Manual*, Index 82.1).

- Interim Features

If improvements to an existing conventional highway are requested by a local agency for the period between the adoption of a freeway route on new alignment and the completion of freeway construction, identify these improvements as interim improvements and discuss whether they are subject to CTC policies. Provide justification for exceptions requiring CTC approval, including justification for extra width at State expense. It is expected that a local agency's request for an exception will normally be in the form of a resolution, which should be an attachment. See Chapter 8, Section 7, for a discussion of interim project policy.

- High Occupancy Vehicle (HOV) (Bus and Carpool) Lanes

Summarize the features proposed for bus and carpool lanes, including: typical cross section – buffer type and width – ingress and egress provisions – directions of operation or contra flow operation – operating times – and occupancy requirements. When projects propose high occupancy vehicle (HOV) lanes, discuss the effects of the HOV facility on safety, congestion, and capacity as required by Vehicle Code Section 21655.5 and by Streets and Highways Code Section 149. See the Traffic Operations Program's *High Occupancy Vehicle (HOV) Guidelines*.

- Ramp Metering

Ramp metering is discussed for any proposals for freeway interchange construction or modification if the freeway segment is included in the Ramp Metering Development Plan Element of the district's Long Range Operations Plan. If capacity is being added to a freeway segment and metering will improve or maintain effective operations on the freeway and parallel arterials, then ramp metering should be included in the project at any urban freeway entrance ramps. Any exceptions must be justified and may be approved as

part of a PR approval. The discussion should also include the positions of the involved local agencies and their willingness to commit to ramp metering. Ramp metering policy is outlined in the Traffic Operations Program's *Ramp Meter Design Guideline*.

- CHP Enforcement Areas

Where enforcement activities of the CHP are affected or needed, summarize any additional facilities to be incorporated to assist in such enforcement (e.g., HOV-lane enforcement areas, ramp-meter enforcement areas, turnouts, special signing, traffic control systems, paving brake check areas, etc.).

- Park and Ride Facilities

Describe any proposed Park and Ride facilities. Consideration of Park and Ride facilities is required and should be described on all major transportation construction projects that include, but are not limited to, new freeways, interchange modifications, lane additions, transit facilities, and HOV lanes. If Park and Ride facilities are not proposed, discuss why. The results of the consultation with the District Park and Ride Coordinator should be documented and full justification should be given for proposals that are contrary to the Park and Ride Coordinator's recommendations.

- Utility and Other Owner Involvement

Discuss known utilities and whether or not relocation may be required. Refer to the R/W Data Sheet. This is an attachment. Give results of any investigation of ownership, prior rights, permit obligations, etc., performed to date. Discuss possible impact on project delivery.

Discuss the estimated "Determination of Liability" required for publicly owned and privately owned public utilities that will be constructed as a part of the highway project.

Discuss the estimated "Determination of Liability" required for non utility-owned facilities. This determination is prepared by the District Project Development Unit after appropriate consultation with affected units such as Right of Way and Permits to assist in arriving at a conclusion on cost sharing.

Reference should be made to any approvals the OPPD Chief has granted for exceptions to Caltrans' policy on encroachments. For more information on this subject, see Chapter 17, "Encroachments in Caltrans' Right of Way".

- Railroad Involvement

Discuss any railroad involvement and the District Railroad Liaison Agent's determination of what documents or agreements are required to clear the project. Refer to the R/W Data Sheet (an attachment).

- Highway Planting

Describe provisions made for replacement planting when existing highway planting must be removed. Describe provisions for revegetation when native plant growth must be removed, particularly through publicly owned parks, U.S. National Forests or State forests, and California Fish and Game or US. Fish and Wildlife lands.

Separate planting projects resulting from these proposals should be described and justification for the planting discussed. Highway planting (revegetation, replacement and new planting) is normally accomplished by a separate project after the highway construction is completed — unless it is legally required to be included as part of the highway construction project (e.g., by Cooperative Agreement, environmental document, permit or court order). The PR for the highway project should state (as determined by the legal document) whether the planting is installed as part of the highway construction contract or if it follows highway construction as a separate contract.

Notes: If the landscape coordinator determines that the discussion of planting is not adequate, a supplemental Planting PR may be required.

Highway Planting (HB32) and Planting Restoration (HA25) projects that are not derived from a highway project are developed using the "Highway Planting & Restoration" format of the Project Report. See Chapter 29 and Appendix D for more information.

- Erosion Control

Erosion control provided on new construction, reconstruction, or where required to protect the transportation facility and to meet water quality discharge requirements, is summarized separately here and included as part of the total project cost estimate.

- Noise Barriers

Provisions for noise barriers, berms, and other noise reduction features should be described. See Chapter 30.

Retrofit noise barrier (HB311) and school noise (HB312) projects that are not derived from a highway project are to be developed using the Noise Barrier Scope Summary Report (NBSSR) format. See Chapter 9, Article 9, and Appendix E.

- NonMotorized and Pedestrian features, etc.

Discuss features provided for nonmotorized transportation and pedestrians as well as provisions that are intended to preserve and enhance the opportunity for safe and convenient bicycle travel.

For most projects proposing nonmotorized facilities, a finding or findings must be made. This should be done in the PR. See Chapter 31, Article 2, for required findings.

- Needed Roadway Rehabilitation and Upgrading

Roadway rehabilitation needs within the alternative limits should be addressed. All projects dealing with widening of existing pavements should include a discussion of the condition of the existing pavements. Discuss the results of a review of the current Pavement Management System Inventory and the field review of the widening project and state if rehabilitation is needed in conjunction with the widening. Include a discussion of deflection study results for AC pavements exhibiting alligator "B" cracking, confirming the rehabilitation need and the rehabilitation strategy thickness.

Projects addressing roadway rehabilitation only (HA22 projects) are to follow the PSSR (Task Force) approach outlined in Chapter 9, Article 5; no separate PR is needed. Rehabilitation work on existing facilities proposed for relinquishment after construction of the proposed facility should be described in accordance with the guidelines in Chapter 25. If the need for rehabilitation work is identified but it is determined that it would need to be programmed as part of another project or as a separately funded project, include that recommendation under outline Item 2., "Recommendation".

- Needed Structure Rehabilitation and Upgrading

For bridge replacement proposals, an analysis of the rehabilitation option must be included.

Projects addressing structure rehabilitation only (HA21 projects) are to follow the PSSR (Task Force) approach outlined in Chapter 9, Article 5. No separate PR is needed unless a bridge replacement on new alignment is proposed.

- **Cost Estimates**

The roadway and structure construction costs and right of way costs for the alternative are to be reported. See Chapter 20, Section 2, and Appendix AA of this manual for instructions on preparing cost estimates. Indicate any types of costs that are not included, such as capital outlay support costs. A PR Cost Estimate (or a Draft PR Cost Estimate if appropriate) is to be included as an attachment.

- **Right of Way Data**

Right of way cost estimates (including utilities relocation costs) are reported on the R/W Data Sheet. (See the *Right of Way Manual*.) The R/W Data Sheet must be included as an attachment to the PR (this should be an update of the R/W Data Sheet attached to the PSR). The form used by the Right of Way Branch for preparation of the R/W Data Sheet is shown in Appendix JJ of this manual.

- **Effect of Special Funded Proposal on State Highway**

If the project is specially funded, discuss the potential effects the proposal will have on the capacity and operating characteristics of the State highway, as well as what mitigation is required to alleviate adverse impacts. During the PSR phase, a thorough analysis should have been made of the proposal. Include an updated discussion of existing and forecasted traffic and of the capacity of the mainline to absorb additional traffic.

B. Rejected Alternatives

Very briefly describe all project alternatives that were considered and rejected, explaining the reasons for the rejection. In order to document all alternatives considered, and in particular any alternate mode considerations in a major investment study (MIS), include any alternatives rejected during the system planning and PSR stages. Refer to the ED for more detail.

6. CONSIDERATIONS REQUIRING DISCUSSION

A. Hazardous Waste

If no hazardous waste sites were identified in the Initial Site Assessment (which was initially prepared during the PSR phase for projects having potential hazardous waste involvement) a statement to that effect should be included.

For those projects with identified hazardous waste sites, Site Investigations (SI) should have been prepared and the results of these SIs should be included. Describe the type of material and limits, along with the estimate of costs for cleaning and monitoring the site.

Describe an alternative, if feasible, that will avoid any hazardous waste sites.

For more information on Hazardous Waste, see Chapter 18.

B. Value Analysis

Recommendations from Value Analysis (VA) studies should be discussed in all PRs. If the recommendations are not implemented, an explanation should be provided. If a VA study was not conducted, a statement must be included that explains why such a study was not conducted.

If one of the project alternatives is the result of the VA study, describe it in outline Item 5., "Alternatives", and describe it as a VA recommendation.

For additional information on VA procedures, see Chapter 19 .

C. Resource Conservation

Discuss measures taken to conserve energy and nonrenewable resources. These measures should be aimed at reducing wasteful, inefficient, and unnecessary consumption of energy and nonrenewable resources in construction, operations and maintenance. At a minimum, the discussion should address the following items :

- Features affecting energy requirements and energy use efficiencies for the various stages of construction, operation, and maintenance, if applicable, including: incorporation of existing structural section into new work – alignment and grades – HOV lanes – truck climbing lanes – materials selection – construction techniques – signals and signing to move traffic efficiently – and others.
- Measures proposed to minimize the consumption, destruction and disposal of nonrenewable resources, including: recycling pavement or use of tires in the pavement structural section materials – maximizing the use of in-place facilities on existing highways, through design innovation, reconstruction and relocation of the facilities – preserving existing materials and facilities, through salvaging and/or incorporating previously salvaged materials or facilities – reducing the use of nonrenewable materials, through material selection and substitution – upgrading of local materials – and use of alternative energy technologies.

Address the recycling of existing AC pavement materials. For projects where existing AC is to be removed, it is to be recycled or stockpiled on State property for future use. If an economical and logistic advantage can be demonstrated, it may be conveyed to the contractor as part of the contract. Full justification must be provided if existing AC is not to be recycled or salvaged for future use.

Projects should specify the use of State-owned salvaged AC materials where economically available.

D. Right of Way Issues

- **Right of Way Required**

Describe in general the right of way requirements and refer to the R/W Data Sheet, which should be an attachment to the PR. Describe any right of way issues that influence the design of the project.

For a Draft PR

Include a discussion and a R/W Data Sheet for each viable project alternative.

For a PR (if appropriate)

Identify the portion of the discussion pertaining to the Preferred Alternative. Indicate which R/W Data Sheet is for the Preferred Alternative.

- **Relocation Impact Studies**

Relocation Impact documents, prepared in accordance with the procedures outlined in Chapter 10 of the *Right of Way Manual*, are required on all projects that displace any person or business, and are often complex and time-consuming, particularly if "Last Resort Housing" or "replacement of affordable housing" are involved.

For a Draft PR

Briefly summarize the Draft Relocation Impact Study/Statement (DRIS).

For a PR

A Final Relocation Impact Study/Statement (FRIS) will be completed for the Preferred Alternative and must be summarized with a reference to the full discussion in the FED.

- **Airspace Lease Areas**

Describe the Project Development Team's determination as to whether or not the proposed project is in an area of high land values having potential for future airspace leases. Discuss how the geometric plan can accommodate or was modified to accommodate airspace leases, and the results of the District Airspace Committee review of the appropriateness of incorporating such provisions into the project. Discuss compatibility of airspace lease areas with local land-use plans, as well as the involved local agency's willingness

to make a financial commitment for any added costs that may be required. Unless airspace lease provisions are required to mitigate project impacts, any added costs must be borne by others (either public or private sources).

E. Environmental Issues

For a Draft PR

DEIS Projects: For projects with a Draft Environmental Impact Report/Statement (DEIS), the following statement must be included:

The DEIS has been prepared in accordance with Caltrans' environmental procedures, as well as State and federal environmental regulations. The attached DEIS is the appropriate document for the proposal.

The DEIS is a required attachment.

ND/FONSI Projects: For projects with an unsigned Negative Declaration (ND), the following statement must be included:

The ND has been prepared in accordance with Caltrans' environmental procedures, as well as State and federal environmental regulations. The attached ND is the appropriate document for the proposal.

The unsigned ND with the Initial Study/Environmental Assessment (IS/EA) is a required attachment.

For a PR

EIR/EIS Projects: For projects with a Final Environmental Impact Report/Statement (FEIS) no statement is included. Instead, a separate "Certification" sheet is attached to the front of the EIS. See the *Environmental Handbook*, Chapter 4, Exhibit 3. The FEIS is a required attachment.

ND/FONSI Projects: For projects with an ND, the following statement must be included:

The ND has been prepared in accordance with Caltrans' environmental procedures, as well as State and federal environmental regulations. The attached ND is the appropriate document for the proposal.

The ND with the IS/EA is a required attachment.

CE Projects: For projects Statutorily Exempt from CEQA, the following statement must be included:

The project is Statutorily Exempt from CEQA.

For projects Categorically Exempt (CE) from CEQA, the following statement must be included:

The project is Categorically Exempt under Class (*insert class*) of the State CEQA guidelines.

When appropriate, the following statement should be included:

The project is Categorically Excluded under NEPA.

Before approving a PR containing a CE statement, the individual having authority to approve the project must have the signed CE Form (when required) in-hand (signed by the Environmental Unit Branch Chief and the functional unit Branch Chief), and must review the project to be certain that the project being approved is the same as the one for which the CE determination is made. If there is any question, the Environmental Unit Branch Chief must be consulted. The CE Form, when required, must be attached to the PR. The *Environmental Handbook* (Chapter 2, Exhibits 4 and 6) identifies the types of projects qualifying for a Categorical Exemption/Exclusion.

Wetlands and Flood Plains: Identify and discuss any impacts on wetlands or encroachment on base flood plains. Describe all efforts taken to avoid these impacts. For further guidelines, consult the following references:

- *Environmental Handbook, Chapters 2 and 3*
- *Highway Design Manual, Topic 804*

Other Environmental Issues: Briefly describe any other environmental issues that influence the project design or cost and refer to a fuller discussion in the attached ED.

F. Air Quality Conformity

State that each project alternative is fully compatible with the design concept and scope described in a current Regional Transportation Plan (RTP) as well as a current Federal Regional Transportation Improvement Program (FRTIP) which the Regional Agency has determined to conform to the State Implementation Plan (SIP) for air quality; otherwise, state that conformity is not required. If one of these statements cannot be made, discuss the consequences. For CMAQ eligibility please see section 8.

G. Title VI Considerations

For a PR with an FED

If not specifically identified in the environmental document, describe the provisions made for low mobility and minority groups. Cite specific considerations given to, and provisions made for, low mobility groups such as the young, aged, handicapped, economically disadvantaged, and minority groups. Specific mention shall be made regarding the effect of alternative route proposals on local street traffic within adjacent minority communities as well as regarding the impacts on minority communities that are being bypassed. In addition, provision of and access to transportation facilities should be discussed with regard to the equality of facilities for minority groups as compared to facilities provided for other community groups similarly located. Such facilities include:

- Locations and accessibility of public transit stops
- Ramped curbs at intersections
- Pedestrian and nonmotorized trails and separations
- Continuation of access to shopping, schools, hospitals
- Recreation areas, etc., that were served by an access-controlled highway.

7. OTHER CONSIDERATIONS AS APPROPRIATE

● Public Hearing Process

For a Draft PR

Make a recommendation regarding requirements for the public hearing process. For example, recommend that a public hearing be scheduled presenting the developed viable alternatives for public comment — or — recommend that an opportunity for a public hearing be offered, since little public interest has surfaced. For further guidelines, see Chapter 12, "Public Hearing" and Chapter 22, "Community Involvement".

For a PR with an FED

Give the date of the public hearing, if held, and the general tenor of comments. State the positions of local agencies. Refer to Item 5.A. of the outline for a discussion of any changes in the project design or mitigating features resulting from the environmental document circulation and the public hearing process. If an opportunity for a hearing was offered in lieu of scheduling a hearing directly, include

copies of all correspondence received in response to the notice and of any replies. If requests were received and subsequently withdrawn, summarize the events that resulted in the withdrawal. If the requests were not withdrawn, state as factually as possible what useful purpose the hearing may have served or not, as the case may be.

- **Route Matters**

Freeway Agreements & New Connections: Discuss Freeway Agreements, when involved (See Chapter 24.). Discuss any new-connection approvals required. Discuss denomination as an access controlled highway, if appropriate (See Chapter 23.) New public road connections and new access to freeways and controlled access highways (CAH) are discussed in detail in Chapter 27.

Route Adoptions: Discuss route adoption requirements or support the determination that adoption is not required where there is deviation from the adopted alignment for engineering reasons. (See Chapter 23). For any deviations, obtain review and concurrence from the PD Coordinator and document here.

Relinquishments: If existing facility will be superseded, discuss whether it will be relinquished, vacated, abandoned or retained. Give estimated costs of proposed action. See Chapter 25.

- **Permits**

Discuss any permits, licenses, or approvals that are required that may be of special significance or may be a problem to obtain. If special procedures or actions are required, make appropriate recommendations. See Chapter 13, Article 2.

Work by others within the access denial lines of an access controlled highway, as well as retention of underground utilities within the right of way, may require approval of the OPPD Chief. See Chapter 17 for more information. Details concerning encroachment permits are discussed in the *Encroachment Permits Manual* issued by the Traffic Operations Program. Discuss any coordination that has taken place with federal agencies as a result of the NEPA/404 Memoranda of Understanding.

- **Cooperative Agreements**

Cooperative features, such as funding responsibilities on any project with proposed transfer of funds, or staffing responsibilities for Special Funded Projects for subsequent design, right of way acquisition, or construction, should be clearly outlined in the Draft PR. Where an EIR/EIS is involved and approval is not expected for some period of time, these recommendations may be deferred to the PR. The discussion should also include the execution dates of other associated Cooperative Agreements or Memoranda of Understanding, along with a brief summary of provisions. For more information, see Chapter 16 and Chapter 2, Section 5, of this manual.

Approval of a Draft PR or PR that recommends approval of cooperative features constitutes authority to finalize negotiations and to submit a draft Cooperative Agreement to OPPD for legal and procedural review. Unless a preapproved agreement form is used, each agreement draft must be approved by OPPD before the final agreement may be submitted to the cooperating agency for execution.

Proposed Cooperative Agreements involving new construction projects must be covered by a PR. Proposed Cooperative Agreements that come about as part of the design of a previously approved major construction project, such as a cooperative drainage project on a new freeway, are to be covered by a Cooperative Agreement Report. Do not use a combined "Project Report-Cooperative Agreement Report" format. Either a PR or a Cooperative Agreement Report should be prepared, whichever is appropriate.

Policies and procedures on processing Cooperative Agreement Reports and draft agreements are contained in the *Cooperative Agreement Manual*.

- **Other Agreements**

Features of other needed agreements, such as interagency agreements or maintenance agreements, should be outlined.

- **Involvement with a Navigable Waterway**

Discuss the feasibility of providing a means of public access to any navigable river over which a new bridge is being constructed. (See Section 84.5 of the Streets and Highways Code.) The term "navigable river" is construed to mean any body of water that will require a US. Coast Guard permit to cross over. Justify and document the position taken on public access to waterways. All environmental and engineering aspects must be considered, as well as the intent of the Legislature. Navigable waterways must be discussed in the Project Report, if applicable.

- **Transportation Management Plan for Use during Construction**

Transportation Management Plans (TMP) are required for all reconstruction, rehabilitation, and other projects (including projects not funded by the State) if it is anticipated that there will be significant traffic delays related to the construction. Describe the general requirements for a TMP, if applicable. In general, a TMP is needed if construction work on an existing roadway already experiencing recurrent delays causes a significant increase in recurrent delays over an extended period of time. Some TMPs might be complex; others may be very simple, with one or two activities added to the traditional traffic-handling practices. Until *TMP Guidelines* are published, contact the Traffic Operations Program's TMP Coordinator for guidance.

Describe any proposed prolonged temporary ramp closures (more than 10 consecutive days) and summarize the results of the economic impact study prepared

by the District Environmental Planning unit. Closures of less than 10 days may require discussion, depending upon circumstances.

Describe detours, including transit route rerouting and nonmotorized rerouting, and other traffic handling features required during construction.

- **Stage Construction**

If multiple construction units or stage construction is proposed, describe them and the reasons for them.

- **Accommodation of Oversize Loads**

A discussion should be included relevant to the policy that State freeways be designed to provide passage for vehicles of unrestricted height while moving in and out of an area; to or from airports, harbors, and testing sites; and to or from ultimate destination for use or assembly. Discuss exceptions to this policy when an existing city or county facility allows for bypass of the State-restricted facility. Refer to Chapter 8, Section 7.

If it is impractical to follow this policy due to engineering controls, excessive costs, or community values considerations, discuss contacts with the impacted industries and describe the mutually satisfactory solution agreed to. A full discussion of the solution must be presented.

- **Graffiti Control**

Include this section if the project will be in an identified graffiti-prone area. The urban areas of the following counties are considered graffiti-prone: San Diego, Orange, Los Angeles, San Bernardino, Riverside, Ventura, Santa Barbara, Fresno, Santa Cruz, Santa Clara, Alameda, San Mateo, San Francisco, Contra Costa, Marin, Napa, Sonoma, Solano, San Joaquin, and Sacramento. Discuss any special attention given to the design in these areas and describe design features proposed, such as details to prevent vandals from accessing bridges, signs, and walls.

- **Other Appropriate Topics**

Discuss any other appropriate topic that has a bearing on the approval of the project.

8. PROGRAMMING

- **Programming**

Proposal Funding Data: Give the data that is included in the appropriate, latest, official programming document: STIP, SHOPP, TSM Plan, Toll Bridge Program, local agency document, or Tax Measure Authority Expenditure Plan.

For a Project Report with an FED

Give the current right of way and construction costs and compare to the programming figures in the current STIP, HSOPP or TSM Plan.

Combining Projects: There are certain occasions where it is cost effective to combine projects from different programs or elements for the purposes of design or construction. This usually occurs where the projects are in proximity to each other. For the project proposed for combining, describe each program or element of the project that is described as a separate line or entry in the programming document.

Multiple Counties: Where work is proposed in multiple counties, an entry is required for each of the counties, so that county minimums can be accurately determined.

- **Funding**

Special Funding: If a project has special funding, identify the source of funding, the dollar amount, when funding will be available, etc.

Congestion Mitigation and Air Quality (CMAQ) Program Funding: If a project is identified as eligible for CMAQ funding in the Project Study Report (PSR), an emission reduction analysis must be completed and attached. California Air Resource Board and Caltrans approved methodologies for completing the emission reduction analysis can be obtained from HQ Transportation Programming. Details on the analysis are available on the website:

www.dot.ca.gov/hq/TransPrg

or the publication "Methods to Find the Cost-Effectiveness of Funding Air-Quality Projects " (CARB, 1991).

State-Only Funding: The PR proposing State-only funding should fully explain the need for the exception and should discuss previous efforts to qualify the project for federal participation.

9. **REVIEWS**

Cover all major reviews and dates of reviews, particularly from the FHWA Transportation Engineer, Traffic Operations Liaison Engineer, Geometric Reviewer, and PD Coordinator. Identify the reviewer and describe the results of the review, including the resolution of any disagreements. State the type of Federal involvement in the project, i.e. Exempt, Certification Acceptance, or Project by Project (see Chapter 2, Section 7).

If FHWA review was not obtained, cite reasons for not doing so. If appropriate, include a statement indicating that the FHWA Transportation Engineer was involved with and reviewed the DED in the district, including whether the proposal is eligible for federal

participation. Note the date of any Mandatory Design Exception Fact Sheet approvals that are discussed in Item 5.A. of the outline.

10. PROJECT PERSONNEL

To facilitate contacts with team members responsible for preparation of the Draft PR or the PR, include their names and telephone numbers (Calnet and public) in the following general format:

Project Manager	(phone #)
Project Development Team Leader	(phone #)
Project Development Unit Supervisor (Senior or Supervisor or both)	(phone #)
Project Development Unit Project Engineer	(phone #)
Environmental Unit Supervisor	(phone #)
Right of Way Branch Reviewer	(phone #)

11. LIST OF ATTACHMENTS

All attachments shall be clearly labeled and referenced in the text to assist the reader in following the report's content. Sheets wider than 216 mm are to be folded to open to the right, with identification shown at the right edge.

Mandatory Requirements: At a minimum, all Draft PRs and PRs should have the following attachments:

- A DED for a Draft PR; an FED or a signed CE Form (if required) for a PR; see *Environmental Handbook* for guidelines
- Location map
- Appropriate project detail maps to show existing conditions and proposed improvements
- Typical sections
- DPR Cost Estimate approved by the Project Manager for each viable alternative for the Draft PR. Indicate Preferred Alternative in attachment to the PR, if appropriate and include the PR Cost Estimate.
- R/W Data Sheet (updated version if already in PSR) for each viable alternative for the Draft PR. Indicate Preferred Alternative in attachment to PR, if appropriate.

Additional Attachments: The following additional attachments should be included, when appropriate:

- PMS printouts
- Safety Index calculation sheet
- Photographs
- Mosaics
- TASAS printouts
- Accident diagrams
- Traffic flow diagrams
- Investigation and signal or median barrier warrant sheets
- Other pertinent items such as resolutions, correspondence
- Site Investigation



Dist - Co - Rte, KP(PM)
RU - EA
Program

PROJECT REPORT

Vicinity Map

Show:

- Project limits
- North Arrow

On Route _____

From _____

To _____

I have reviewed the right of way information contained in this Project Report and the R/W Data Sheet attached hereto, and find the data to be complete, current, and accurate:

DISTRICT DIVISION CHIEF – RIGHT OF WAY

APPROVAL RECOMMENDED:

PROJECT MANAGER

APPROVED:

DISTRICT DIRECTOR

DATE

Dist - Co - Rte, KP(PM)

This Project Report has been prepared under the direction of the following registered civil engineer. The registered civil engineer attests to the technical information contained herein and the engineering data upon which recommendations, conclusions, and decisions are based.

REGISTERED CIVIL ENGINEER

DATE



Outline For PROJECT REPORT

1. INTRODUCTION
2. RECOMMENDATION
3. BACKGROUND
4. NEED and PURPOSE
 - A. Problem, Deficiencies, Justification
 - B. Regional & System Planning
 - C. Traffic
5. ALTERNATIVES
 - A. Viable Alternatives
 - B. Rejected Alternatives
6. CONSIDERATIONS REQUIRING DISCUSSION
 - A. Hazardous Waste
 - B. Value Analysis
 - C. Resource Conservation
 - D. Right of Way Issues
 - E. Environmental Issues
 - F. Air Quality Conformity
 - F. Title VI Considerations
7. OTHER CONSIDERATIONS AS APPROPRIATE
 - Public Hearing Process
 - Route Matters
 - Permits
 - Cooperative Agreements
 - Other Agreements
 - Involvement with a Navigable Waterway
 - Transportation Management Plan for Use During Construction
 - Stage Construction
 - Accommodation of Oversize Loads
 - Graffiti Control
 - Other Appropriate Topics
8. PROGRAMMING
9. REVIEWS
10. PROJECT PERSONNEL
11. LIST OF ATTACHMENTS